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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): John B. Beavers
Assignee: Symantec Corporation
Title: SYSTEM AND METHOD FOR TRACKING AND FILTERING
ALERTS IN AN ENTERPRISE AND GENERATING ALERT
INDICATIONS FOR ANALYSIS
Serial No.: 10/080,574 Filed: February 25, 2002
Examiner: Unknown Group Art 2122
Unit:
Docket No.: SYMC1023

Monterey, CA
June 15, 2004

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER §1.97(b)

Sir:

Pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant(s) wish to call the following documents (a copy of each is enclosed) to the attention of the Examiner.

U.S. PATENT DOCUMENTS

| | DOCUMENT NUMBER | DATE | NAME |
|----|-----------------|----------|-----------------|
| 1) | 5,893,083 | 04/06/99 | Eshghi et al. |
| 2) | 6,266,773 B1 | 07/24/01 | Kisor et al. |
| 3) | 6,298,445 B1 | 10/02/01 | Shostack et al. |
| 4) | 6,321,338 B1 | 11/20/01 | Porras et al. |
| 5) | 6,484,203 B1 | 11/19/02 | Porras et al. |

OTHER DOCUMENTS

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| 1) | Barrus, J., "Intrusion Detection in Real Time in a Multi-Node, Multi-Host Environment", Master's Thesis, Naval Postgraduate School, Monterey, CA, i-xii, pp. 1-79, September 1997. |
| 2) | Houston, G. et al., U.S. Patent Publication No. US-2002/0019945-A1, published on February 14, 2002, entitled "SYSTEM AND METHOD FOR MANAGING SECURITY EVENTS ON A NETWORK", 29 pgs. |
| 3) | "SNIA CIM Interoperability Demonstration Backgrounder", Storage Networking Industry Association, pp. 1-2, 2002. |
| 4) | "SNIA Storage Management Initiative CIM/WBEM Technology Backgrounder", Storage Networking Industry Association, pp. 1-2, 2002. |
| 5) | Hughes, K. and Wohlferd, D., "Say Goodbye to Quirky APIs: Building a WMI Provider to Expose Your Object Info", pp. 1-16 [online]. Retrieved on December 24, 2002. Retrieved from the internet: URL:http://msdn.microsoft.com/msdnmag/issues/0500/wmiprov/print.asp |
| 6) | "Common Information Model (CIM) Specification", Version 2.2, Distributed Management Task Force, Inc., Portland, OR, pp. I-VI, 1-97, June 14, 1999. |
| 7) | Davis, J., "WBEM Services Specification JSR-0048", Java One, Sun's 2001 Worldwide Java Developer Conference, pp. 1-19, 2001. |
| 8) | Bhat, G., "WBEM Services API and Examples", Java One, Sun's 2001 Worldwide Java Developer Conference, pp. 20-29, 2001. |
| 9) | Westerinen, A., "Modeling Information In CIM", Java One, Sun's 2001 Worldwide Java Developer Conference, pp. 31-43, 2001. |
| 10) | Ptacek, T. and Newsham, T., "Insertion, Evasion, and Denial of Service: Eluding Network Intrusion Detection", Secure Networks, Inc., pp. 1-63, January 1998. |
| 11) | Yang, J., Ning, P., Wang, X., and Jajodia, S., "Cards: A Distributed System For Detecting Coordinated Attacks", Center for Secure Information Systems, George Mason University, Fairfax, VA, pp. 1-10. |
| 12) | Magers, D., "Packet Sniffing: An Integral Part of Network Defense", 9 pgs., May 9, 2002. |
| 13) | King, N. and Weiss, E., "Network Forensics Analysis Tools (NFATs) Reveal Insecurities, Turn Sysadmins Into Systems Detectives", Information Security, 8 pgs., February 2002. |
| 14) | Trenum, G., "Practical Requirement for Level 2 IDIC Exam", 15 pgs. |
| 15) | Shimomura, T., "Tsutomu Shimomura's Newsgroup Posting With Technical Detail of the Attack Described by Markoff in NYT", <u>Random Access</u> , 10 pgs., October 12, 1997. |
| 16) | "Dragon 5, An Intrusion Detection System for the Enterprise", 5 pgs. |

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| 17) | Stevens, W., <i>The Protocols, TCP/IP Illustrated, Volume 1</i> , Addison Wesley Longman, Inc., Reading, MA, pp. vii - xii, 7, 8, 1994 |
| 18) | Sinclair, C., Pierce, L., and Matzner, S., "An Application of Machine Learning to Network Intrusion Detection", The University of Texas at Austin, Austin, TX, pp. 1-7. |
| 19) | Butterworth, J., "Practical Portion Of Intrusion Detection Immersion Curriculum", 10 pgs. |
| 20) | Kobi, H., "Beyond SNMP: The Benefits of Collecting Network Event Logs", Technical White Paper, Network Intelligence® Corporation, Walpole, MA, pp. 1-10, June 2002. |
| 21) | Harp, S., Geib, C., Goldman, R., Heimerdinger, W., Thomas, V., and R.A. Kemmerer Associates, "Argus: An Architecture for Cooperating Intrusion Detection and Mitigation Applications", Honeywell Technology Center, 18 pgs. |
| 22) | Barrus, J. and Rowe, N., "A Distributed Autonomous-Agent Network-Intrusion Detection and Response System", Proceedings of the 1998 Command and Control Research and Technology Symposium, Monterey, CA, June - July 1998, 12 pgs. |
| 23) | Frincke, D., Tobin, D., McConnell, J., Marconi, J., and Polla, D., "A Framework for Cooperative Intrusion Detection", Center for Secure and Dependable Software, University of Idaho, Moscow, ID, 13 pgs, 1998. |
| 24) | "Managing Your Network With HP OpenView Network Node Manager", Hewlett-Packard Company, Fort Collins, CO, pp. 1-675, May 2002. |
| 25) | "HP OpenView Communications Event Correlation Services Developer's Guide and Reference", Hewlett-Packard Company, Fort Collins, CO, pp. 1-150, April 2001. |
| 26) | "HP OpenView Communications Event Correlation Services SNMP Module", Hewlett-Packard Company, Fort Collins, CO, pp. 1-62, April 2001. |
| 27) | "HP OpenView Communications Event Correlation Services Administrator's Guide", Hewlett-Packard Company, Fort Collins, CO, pp. 1-121, April 2001. |
| 28) | Beavers, J., U.S. Patent Application Serial No. 10/082,235, filed on February 26, 2002, entitled "SYSTEM METHOD FOR MANAGING ALERT INDICATIONS IN AN ENTERPRISE", 46 pgs total. |
| 29) | Beavers, J., U.S. Patent Application Serial No. 10/800,059, filed on March 12, 2004, entitled "METHOD AND STRUCTURES FOR PREPARING GENERIC RULES FOR A SECURITY RULES PROCESSOR", 49 pgs total. |

A PTO form 1449 listing these documents is enclosed.

Citation of the above documents shall not be construed as:

1. an admission that the documents are necessarily prior art with respect to the instant invention;



2. a representation that a search has been made, other than as described above; or

3. an admission that the information cited herein is, or is considered to be, material to patentability as defined in § 1.56(b).

The Commissioner is hereby authorized to charge any fees required for consideration of this Information Disclosure Statement, and to credit any overpayment of fees to Deposit Account No. 50-0553.

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on June 15, 2004.

Attorney for Applicant(s)

June 15, 2004

Date of Signature

Respectfully submitted,

Forrest Gunnison
Attorney for Applicant(s)
Reg. No. 32,899
(831) 655-0880

Form PTO-1449

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| | AA | 5,893,083 | 04/06/99 | Eshghi et al. | 706 | 45 | |
| | AB | 6,266,773 B1 | 07/24/01 | Kisor et al. | 713 | 200 | |
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| AS | "HP OpenView Communications Event Correlation Services SNMP Module", Hewlett-Packard Company, Fort Collins, CO, pp. 1-62, April 2001. |
| AT | "HP OpenView Communications Event Correlation Services Administrator's Guide", Hewlett-Packard Company, Fort Collins, CO, pp. 1-121, April 2001. |

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SYMC1023

10/080,574

**INFORMATION DISCLOSURE CITATION
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Applicant(s)

John B. Beavers

Filing Date

February 25, 2002

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|---------------------|----|-----------------|------|------|-------|----------|-------------------------------|
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| AR | Beavers, J., U.S. Patent Application Serial No. 10/082,235, filed on February 26, 2002, entitled "SYSTEM METHOD FOR MANAGING ALERT INDICATIONS IN AN ENTERPRISE", 46 pgs total. |
| AS | Beavers, J., U.S. Patent Application Serial No. 10/800,059, filed on March 12, 2004, entitled "METHOD AND STRUCTURES FOR PREPARING GENERIC RULES FOR A SECURITY RULES PROCESSOR", 49 pgs total. |
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